



I hereby certify that this correspondence is being deposited with the United States Postal Services on the date set forth below as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Signature

and Deposit: 10/25/99

Attorney of Record

Handwritten: #2, Davis, 11/3/99, Jan C. Baber

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Karen M. Downs  
Serial No.: 09/336,103  
Filed: June 18, 1999  
For: CHIMERIC MAMMALIAN ALLANTOIS  
Group Art Unit: 1633  
Examiner: --

RECEIVED

NOV 1 1999

Assistant Commissioner for Patents  
Washington, D.C. 20231

TECH CENTER 1600/2900

SUBMISSION OF SIGNED DECLARATION AND SMALL ENTITY  
STATUS REQUEST

Dear Sir:

In the matter of the above-identified case,  
Applicant requests that the Patent Office note the  
submission of the following two documents:

1. Declaration. Applicant hereby submits a signed declaration of the inventor, Karen M. Downs.
2. Small Entity Request. Applicant has enclosed a Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(b))-Independent Inventor and a Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(d))-Nonprofit Organization.

Applicants believe that no fees are required to submit these documents. However, if a fee is required, please charge Deposit Account 17-0055. If a fee is required for late submission of the declaration,

Applicant directs that this fee (believed to be \$65.00) be assessed at the small entity level and charged to Deposit Account 17-0055. A fee sheet accompanies this transmission.

Respectfully submitted,

Karen M. Downs

October 25, 1999

By: 

Jean C. Baker  
Registration No. 35,433  
Attorney for Applicant  
QUARLES & BRADY LLP  
411 East Wisconsin Avenue  
Milwaukee, WI 53202-4497  
(414) 277-5709

**FEE TRANSMITTAL**  
**for FY 1999**OCT 27 1999  
PATENT & TRADEMARK OFFICE

Complete if Known

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement  
otherwise large entity fees must be paid, See Forms PTO/SB/09-12

TOTAL AMOUNT OF PAYMENT \$65.00

Application Number	09/336,103
Filing Date	June 18, 1999
First Named Inventor	Karen M. Downs
Group Art Unit	1633
Examiner Name	
Attorney Docket Number	960296.95912

**METHOD OF PAYMENT (check one)**1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:Deposit  
Account  
Number

17-0055

Deposit  
Account  
Name

Quarles &amp; Brady LLP

☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.172. ☐ Payment Enclosed:☐ Check☐ Money  
Order☐ Other**FEE CALCULATION (fees effective 11/10/98)****1. FILING FEE**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	760	201	380	Utility filing fee	
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	760	208	380	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

**2. CLAIMS**

Total Claims	Extra	Fee from below	Fee Paid
-20**=	X		
Independent Claims	-3**=	X	
Multiple Dependent Claims			

\*\* or number previously paid, if greater, For reissues see below

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim
109	78	209	39	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**FEE CALCULATION (continued)**

RECEIVED

NOV 1 1999

TECH CENTER 1600/2900 Fee Paid

**3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	\$65.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920	112	920	Requesting publication of SIR prior to Examiner action	
113	1,840	113	1,840	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,210	241	605	Petition to revive unintentionally abandoned application	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	

10/29/1999 RECEIVED (00000337) 00000000  
Other fee (specify) 01 FC:205 65.00 CH  
Other fee (specify)

SUBTOTAL (3) (\$65.00)

\* Reduced by Basic Filing Fee Paid

**SUBMITTED BY**Typed or  
Printed Name Jean C. Baker

Signature

Jean C. Baker

Date

October 25, 1999

**Complete (if applicable)**

Reg. Number

35,433

Deposit Account  
User ID

EXPRESS MAIL LABEL NO.

OCT 27 1999

PTO/SB/01 (6-95)

Approved for use through 9/30/98. OMB 0651-0032

Please type a plus sign (+) inside this box

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION</b>  <input type="checkbox"/> Declaration Submitted with Initial Filing    OR <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing	Attorney Docket Number	960296.95912
	First Named Inventor	Karen M. Downs
	<b>COMPLETE IF KNOWN</b>	
	Application Number	09/336,103
	Filing Date	June 18, 1999
	Group Art Unit	1633
	Examiner Name	

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

CHIMERIC MAMMALIAN ALLANTOIS

(Title of the invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

06/18/99

as United States Application Number or PCT International

Application Number

09/336,103

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate or §365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign applications numbers are listed on a supplemental priority sheet attached hereto:

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority sheet attached hereto.
60/015,066 60/118,764	April 9, 1996 February 5, 1999	

**Burden Hour Statement:** This form is estimated to take .4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

## DECLARATION

Page 2

I hereby claim benefit under Title 35, United States Code §120 of any United States application(s), or §365(C) of any PCT International application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application or PCT International application in the manner provided in the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
08/838,384	OCT 27 1999	April 8, 1997	

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority sheet attached hereto

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and all continuation and divisional applications based thereon, and to transact all business in the Patent and Trademark Office connected therewith:

☐ Firm Name  Customer Number or label

OR

☒ List attorney(s) and/or agent(s) name and registration number below

Name	Registration Number	Name	Registration Number
Neil E. Hamilton	19,869	Joseph W. Bain	34,290
Thomas W. Ehrmann	20,374	Robert J. Sacco	35,667
Barry E. Sammons	25,608	Jean C. Baker	35,433
J. Rodman Steele	25,931	David G. Ryser	36,407
Nicholas J. Seay	27,386	Bennett J. Berson	37,094
George E. Haas	27,642	Michael A. Jaskolski	37,551
Harvey D. Fried	28,298	Allen J. Moss	38,567
Michael J. McGovern	28,326	Sherry Whitney	39,422
Carl R. Schwartz	29,437	Jill A. Fahrlander	42,518
Gregory A. Nelson	30,577	Scott D. Paul	42,984
Keith M. Baxter	31,233	Daniel G. Radler	43,028
John D. Franzini	31,356	Steven J. Wietrzny	P44,402

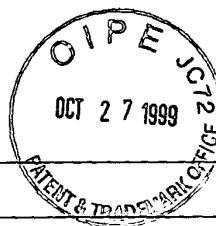
☐ Additional attorney(s) and/or agents named on a supplemental priority sheet attached hereto

Please direct all correspondence to ☐ Customer Number or label OR ☒ Fill in correspondence address below

Name	Jean C. Baker		
Address	Quarles & Brady LLP		
Address	411 East Wisconsin Avenue, Suite 2550		
City	Milwaukee	State	WI
Zip	53202-4497		
Country	USA	Telephone	(414) 277-5709
Fax	(414) 271-3552		

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Name of Sole or First Inventor:				A petition has been filed for this unsigned inventor	
Given	Karen	Middle	M.	Family	Downs
Inventor's Signature					Date
Karen H. Downs					9.14.99
Residence:	Madison	State	WI	Country	USA
Post Office Address	9 South Spooner Street				
Post Office Address					
City	Madison	State	WI	Zip	53705
Country	USA			Applicant Authority	
<input type="checkbox"/> Additional inventors are being named on supplemental sheet(s) attached hereto					



Attorney's Docket No. 960296.95912

Applicant or Patentee: Karen M. Downs et al.

Serial or Patent No.: 09/336,103

Filed or Issued: 6-18-1999

For: CHIMERIC MAMMALIAN ALLANTOIS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Wisconsin Alumni Research Foundation

ADDRESS OF ORGANIZATION: P.O. Box 7365, Madison, WI 53707-7365

**TYPE OF ORGANIZATION**

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

(NAME OF STATE \_\_\_\_\_)

(CITATION OF STATUTE \_\_\_\_\_)

- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

(NAME OF STATE \_\_\_\_\_)

(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled CHIMERIC MAMMALIAN ALLANTOIS

by inventor(s) Karen M. Downs et al.

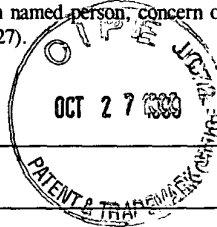
described in

- ☐ the specification filed herewith.
- ☒ application serial no. 09/336,103, filed 6-18-1999
- ☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).



NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Carl E. Gulbrandsen

TITLE IN ORGANIZATION Director of Patents and Licensing

ADDRESS OF PERSON SIGNING Wisconsin Alumni Research Foundation

P.O. Box 7365, Madison, WI 53707-7365

SIGNATURE  Date 9/13/99



Attorney's Docket No. 960296.95912

Applicant or Patehnee: Karen M. Downs et al.

Serial or Patent No.: 09/336,103

Filed or Issued: 6-18-1999

For: CHIMERIC MAMMALIAN ALLANTOIS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled CHIMERIC MAMMALIAN ALLANTOIS

described in

☐ the specification filed herewith.

☒ application serial no. 09/336,103, filed 6-18-1999

☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

RECEIVED

NOV 1 1999

TECH CENTER 1600/2900

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☐ no such person, concern, or organization

☒ persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME: Wisconsin Alumni Research Foundation

ADDRESS: P.O. Box 7365, Madison, WI 53707-7365

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☒ NONPROFIT ORGANIZATION

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION



I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Karen M. Downs

Name of inventor

Karen M. Downs

Signature of inventor

Date 10.17.99